

**Performance Track Site Visit Protocol**

**Background Information** .....

Date of Visit: \_\_\_\_\_

Site Visit Conducted By:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Facility PT Application ID: \_\_\_\_\_

Facility Name: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Facility Personnel Participating:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Facility Location: \_\_\_\_\_

\_\_\_\_\_

**Key to Site Visit Protocol**

-  Review and complete these sections of the protocol prior to conducting the site visit. Use the space provided for handwritten notes.
-  Include as part of your on-site document review.
-  Site visit lead answers these questions based on information gathered; facility does not

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## EMS Requirements

Environmental Policy	
☞ Does the facility have a written environmental policy?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Does the policy include a commitment to:	
<input type="checkbox"/> compliance?	<input type="checkbox"/> continuous improvement?
<input type="checkbox"/> pollution prevention?	<input type="checkbox"/> public outreach?
Is the environmental policy publicized, internally?	<input type="checkbox"/> YES <input type="checkbox"/> NO
and externally?	<input type="checkbox"/> YES <input type="checkbox"/> NO
EMS Assessment	
Was an EMS Assessment done?	<input type="checkbox"/> YES <i>date of assessment:</i> _____ <input type="checkbox"/> NO
Type of Assessment ( <i>check one</i> )	
<input type="checkbox"/> Self-Assessment, GEMI Protocol	<input type="checkbox"/> Third Party Assessment, ISO 14001
<input type="checkbox"/> Self-Assessment, CEMP Protocol	<input type="checkbox"/> Third Party Assessment, Other:
<input type="checkbox"/> Self-Assessment, Other:	
When was your last internal EMS audit?	
Describe your process for addressing issues identified in the EMS audit.	
<i>✓ Site visit lead: Is a corrective/preventative action program in place?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO
When was your last management review of EMS effectiveness?	
Describe the management review of your EMS and your process for addressing issues identified during the management review.	
<i>✓ Site visit lead: Are procedures in place to ensure that management review findings are addressed?</i>	<input type="checkbox"/> YES <input type="checkbox"/> NO

<b>Environmental Objectives</b>			
<b>How do you identify your environmental aspects or issues?</b>			
<b>When was your last environmental aspects/issues analysis or review?</b>			
<b>Describe the criteria you use to select which significant aspects/issues you're going to work on first.</b>			
<b>Do you consider:</b>	<input type="checkbox"/> <b>regulatory requirements?</b>	<input type="checkbox"/> <b>pollution prevention opportunities?</b>	<input type="checkbox"/> <b>community concerns?</b>
<b>Have you set measurable targets based on your analysis of your environmental aspects/issues?</b>			
			<input type="checkbox"/> <b>YES</b> <input type="checkbox"/> <b>NO</b>
<b>Pick one objective/target as an example and explain how it is being addressed. Include who is responsible for meeting this target, any incentives for them to meet this target, and the schedule for meeting this target.</b>			
<b>Is this (or any) objective being addressed through documented Operational Controls?</b>			
 <i>Review a sample Operational Control/SOP</i>		<input type="checkbox"/> <b>YES</b>	<input type="checkbox"/> <b>NO</b>
<b>Compliance Assurance</b>			
<b>How do you identify your facility's legal requirements?</b>			
<b>✓ Site visit lead: Is a system in place to identify legal requirements?</b>			<input type="checkbox"/> <b>YES</b> <input type="checkbox"/> <b>NO</b>

**What procedures are used to ensure compliance is maintained?**

**✓ Site visit lead: Are procedures in place to ensure compliance is maintained?**       YES       NO

**When was your last internal compliance audit?**

**Describe your process for addressing issues identified in the compliance audit.**

**✓ Site visit lead: Is a corrective/preventative action program in place?**       YES       NO

### **Training**

**What types of environmental training do you conduct (e.g., general environmental awareness, as part of orientation, compliance, or EMS-specific training)? Who receives this training and how often?**

### **Emergency Preparedness Procedures**

**☞ Does the facility have emergency preparedness procedures in place?**       YES       NO

**✓ Site visit lead: Based on your review of EMS documents, are document control procedures in place?**

YES       NO

# Performance Commitments .....

<b>Past Achievements</b>		
Past Achievements: <i>☞ (fill in prior to site visit)</i>		
Are these programs/projects on-going?	<input type="checkbox"/> YES	<input type="checkbox"/> NO
<b>Future Commitments</b>		
Future Commitment 1: <i>☞ (fill in prior to site visit)</i>		
Describe your activities to date toward achieving this goal. Describe how progress is measured.		
<i>✓ Site visit lead: Is the facility addressing this performance commitment?</i>		
	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Future Commitment 2: <i>☞ (fill in prior to site visit)</i>		
Describe your activities to date toward achieving this goal. Describe how progress is measured.		
<i>✓ Site visit lead: Is the facility addressing this performance commitment?</i>		
	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Future Commitment 3: <i>☞ (fill in prior to site visit)</i>		
Describe your activities to date toward achieving this goal. Describe how progress is measured.		
<i>✓ Site visit lead: Is the facility addressing this performance commitment?</i>		
	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Future Commitment 4: <i>☞ (fill in prior to site visit)</i>		
Describe your activities to date toward achieving this goal. Describe how progress is measured.		
<i>✓ Site visit lead: Is the facility addressing this performance commitment?</i>		
	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Are each of the performance commitments identified as significant environmental aspects in your EMS? If NO, why?		
	<input type="checkbox"/> YES	<input type="checkbox"/> NO

## Public Outreach and Performance Reporting .....

<p>Describe an example of the mechanism used to respond to community concerns.</p>
<p>✓ <i>Site visit lead: Are mechanisms in place to respond to community concerns?</i>      <input type="checkbox"/> YES      <input type="checkbox"/> NO</p>
<p>Describe an example of the mechanism used to inform the community of important issues related to the facility's environmental performance.</p>
<p>✓ <i>Site visit lead: Are mechanisms in place to inform the community?</i>      <input type="checkbox"/> YES      <input type="checkbox"/> NO</p>
<p>Describe an example of how information on the facility's environmental performance (e.g., the annual environmental performance report) is communicated to the general public (inside and outside the local community).</p>
<p>✓ <i>Site visit lead: Are mechanisms in place to communicate environmental performance publicly?</i>      <input type="checkbox"/> YES      <input type="checkbox"/> NO</p>

## PT Program Evaluation .....

<p>What were your incentives for joining the Program?</p>
<p>What do you think is working well in the Performance Track Program? About the site visit process in particular?</p>
<p>What would you change about the Program? About the site visit process in particular?</p>

Date of Visit: \_\_\_\_\_

Site Visit Lead: \_\_\_\_\_

Facility PT Application ID: \_\_\_\_\_

Facility Lead: \_\_\_\_\_

Facility Name/Location: \_\_\_\_\_

✓ = satisfactory

✗ = non-conformance/issue noted

**1. Environmental Management System**

Comments

Do the following EMS elements appear to be in place and operational:

- POLICY [e.g., written policy covering compliance, P2, continuous improvement, community interaction]
- PLANNING [e.g., aspects and legal req'ts. identified, objects and targets set, programs in place]
- IMPLEMENTATION & OPERATION [e.g., roles and responsibilities, training programs, SOPs, emer. prep.]
- CHECKING & CORRECTIVE ACTION [e.g., audit and corrective/preventive action programs]
- MANAGEMENT REVIEW [e.g., documented periodic review by top management]

**2. Performance Commitments**

Is appropriate progress being made toward meeting performance commitments?

- Commitment #1
- Commitment #2
- Commitment #3
- Commitment #4

**3. Public Outreach & Performance Reporting**

Are the following public outreach/reporting activities appropriate for this facility given size, operations, and setting?

- Identifies and responds to community concerns
- Informs community of important matters
- Reports on facility performance

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